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**LERNER, DAVID, LITTBENBERG,  
 KRUMHOLZ & MENTLIK, LLP**

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Leyla  
 International Division

**Facsimile Transmittal**

| To:                   | FAX NUMBER            | VOICE NUMBER          |
|-----------------------|-----------------------|-----------------------|
| <u>Shamie Persons</u> | <u>703 746-6689</u>   | <u>703 305-3737</u>   |
| FROM:                 | FAX NUMBER            | VOICE NUMBER          |
| <u>JODI LANG</u>      | <u>(908) 654-7866</u> | <u>(908) 518-6418</u> |

Date: 11/19/02 No. Pages: 11 Client/Matter No: GOE/1

Original Mailed: Yes        No       

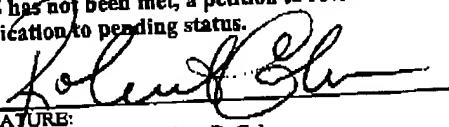
**● MESSAGE:**

NOTICE: The information contained herein is intended only for the addressee identified above. It may be or may include material which is confidential, attorney-client privileged, attorney work product, copyrighted, and/or inside information. If you are not the intended recipient, or a person responsible for delivering this message to the intended recipient, you are hereby notified that the unauthorized use, disclosure, distribution or copying is strictly prohibited and may be in violation of court order or otherwise unlawful. If you have received this transmission in error, please immediately notify us at (908)654-5000 (Collect, if necessary) and return this document to us by mail.

EXPRESS MAIL LABEL NO.: EV064374836US  
DATE: March 18, 2002

| U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE   |                            | ATTORNEY'S DOCKET NUMBER                        |
|---|----------------------------|---|
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371  |                            | SONYAK-161                                      |
| INTERNATIONAL APPLICATION NO.   | INTERNATIONAL FILING DATES | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) |
| PCT/JP01/02929  | 4 April 2001               | 09/980,952                                      |
| TITLE OF INVENTION INFORMATION PROCESSING SYSTEM AND METHOD   |                            | PRIORITY DATE CLAIMED                           |
| APPLICANT(S) FOR DO/EO/US Ryuji Ishiguro, Yoshitomo Osawa, Tateo Oishi, Tomoyuki Asano, and Atsushi<br>Mitsuzawa  |                            | 6 April 2000                                    |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |                            |   |
| <p>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing 35 U.S.C. 371</p> <p>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> </p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ul> </p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ul> </p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). (Executed)</p> <p>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</p> |                            |   |
| Items 11 to 20 below concern document(s) or information included:   |                            |   |
| <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p>14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: Copy of Notification Of Missing requirements Under 35 U.S.C. 371 In The United States Designated/Elected Office (DO/EO/US)</p>  |                            |   |

EXPRESS MAIL LABEL NO.: EV064374836US  
DATE: March 18, 2002

|   |   |   |                        |    |          |      |
|---|---|---|------------------------|----|----------|------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br>09/980,952   | INTERNATIONAL APPLICATION NO.<br>PCT/JP01/02929 | ATTORNEY'S DOCKET NUMBER<br>SONYAK-161              |                        |    |          |      |
| CALCULATIONS PTO USE ONLY   |   |   |                        |    |          |      |
| <p>21. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b></p> <p><input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1040.00</p> <p><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$890.00</p> <p><input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$740.00</p> <p><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$710.00</p> <p><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00</p> |   |   |                        |    |          |      |
| <p><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></p> <p>Surcharge of <input type="checkbox"/> \$ 130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).</p>   |   |   |                        |    |          |      |
| CLAIMS  | NUMBER FILED<br>-20 -                           | NUMBER EXTRA<br><input checked="" type="checkbox"/> |                        |    |          |      |
| Total claims  | -20 -   | <input checked="" type="checkbox"/>                 |                        |    |          |      |
| Independent claims  | -3 -  | <input checked="" type="checkbox"/>                 |                        |    |          |      |
| <p><b>MULTIPLE DEPENDENT CLAIM(s) (If applicable)</b></p> <p><b>TOTAL OF ABOVE CALCULATIONS =</b> \$ 130.00</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.</p>   |   |   |                        |    |          |      |
| <p><b>SUBTOTAL =</b> \$ 130.00</p> <p>Processing fee of <input type="checkbox"/> \$ for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). +</p> <p><b>TOTAL NATIONAL FEE =</b> \$ 130.00</p> <p>Fee for recording the enclosed assignment (37 CFR 1.21 (h)). Assignment must be accompanied by appropriate cover sheet (37 CFR 3.28, 3.31) + \$ ( per property).</p> <p><b>TOTAL FEES ENCLOSED =</b> \$ 130.00</p>   |   |   |                        |    |          |      |
| <table border="1"> <tr> <td>Amount to be Refunded:</td> <td>\$</td> </tr> <tr> <td>Charged:</td> <td>\$ 3</td> </tr> </table>   |   |   | Amount to be Refunded: | \$ | Charged: | \$ 3 |
| Amount to be Refunded:  | \$  |   |                        |    |          |      |
| Charged:  | \$ 3  |   |                        |    |          |      |
| <p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 12-1095 in the amount of \$ 130.00 to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to my Deposit Account No. 12-1095. A duplicate copy of this sheet is enclosed.</p>   |   |   |                        |    |          |      |
| <p><b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</b></p>  |   |   |                        |    |          |      |
| <p>SEND ALL CORRESPONDENCE TO:</p> <p>Robert B. Cohen<br/>LERNER, DAVID, LITTBENBERG, KRUMHOLZ &amp; MENTLIK, LLP<br/>600 South Avenue West<br/>Westfield, New Jersey 07090<br/>(908) 518-6316</p>  |   |   |                        |    |          |      |
| <p>SIGNATURE: <br/>Robert B. Cohen</p>  |   |   |                        |    |          |      |
| <p>NAME: _____</p>  |   |   |                        |    |          |      |
| <p>32,768</p>   |   |   |                        |    |          |      |
| <p>REGISTRATION NUMBER: _____</p>   |   |   |                        |    |          |      |



## UNITED STATES PATENT AND TRADEMARK OFFICE

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|                               |                       |                  |
|-------------------------------|-----------------------|------------------|
| U.S. APPLICATION NUMBER NO.   | FIRST NAMED APPLICANT | ATTY. DOCKET NO. |
| 09/980,952                    | Ryuji Ishiguro        | SONYJP-161       |
| INTERNATIONAL APPLICATION NO. |                       | PCT/JP01/02929   |
| I.A. FILING DATE              |                       | PRIORITY DATE    |
| 04/04/2001                    |                       | 04/06/2000       |

Robert B. Cohen  
Lerner David Littenberg  
Krumholz & Mentlik  
600 South Avenue West  
Westfield, NJ 07090

Due  
2/18/2002  
EG

CONFIRMATION NO. 1747  
371 FORMALITIES LETTER



"0000000007356485"

Date Mailed: 01/29/2002

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Request for Immediate Examination

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

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SUMMARY OF FEES DUE:

LDLK&amp;M

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice MUST be returned with the response.*

MAMIE P PERSON

Telephone: (703) 305-3737

**PART 1 - ATTORNEY/APPLICANT COPY**

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 09/980,952                  | PCT/JP01/02929                | SONY JP-161      |

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PLEASE ACKNOWLEDGE RECEIPT BY RETURNING THIS CARD

Via: Express Mail; Airbill No. EV064374836US

Atty Docket No.: SONYAK 3.3-161

Due Date: March 29, 2002

Title: INFORMATION PROCESSING SYSTEM AND METHOD

Application No.: 09/980,952

**Documents Filed:**

Transmittal Letter to the United States Designated/Elected Office (2 pages)

Executed Declaration

Copy of Notification of Missing Requirements Under 35 U.S.C. 371 In The United States Designated/Elected Office (DO/EO/US)

Charge \$130.00 to deposit account 12-1095

JG07 Rec'd PCT/PTO 18 MAR 2002

Sender's Initials: EG/cfm

Mailling Date: March 18, 2002

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